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ABSTRACT

This handbook of guidelines is intended to explain the sum and substance of the evaluation process and to guide a planning committee in designing an evaluation program. The evaluation process discussed is termed "evaluation by objectives." The guidelines for implementing evaluation by objectives have five steps: diagnosing current performance, setting objectives and action plans, achieving objectives and action plans, assessing results, and analyzing results and planning the next cycle. Chapters on getting started on the program and on defining the job to be evaluated are included. (Author/IRT)

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EVALUATING TEACHERS & ADMINISTRATORS: PUTTING THE PIECES TOGETHER

by GEORGE B. REDFERN

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ABOUT THE AUTHOR

Dr. George B. Redfern has been actively involved in school personnel administration, throughout the nation, for more than a quarter of a century. Specializing in the area of personnel evaluation, he has participated and given leadership in conducting seminars and workshops in this area of personnel administration in school systems and for associations of school administrators in all sections of the country.

Twenty-seven years as a teacher, principal, personnel director, and assistant superintendent in Ohio school systems preceded his tenure on the staff of the American Association of School Administrators, which extended from 1966 to 1974. Since retiring from AASA, he has been engaged in independent educational management consultant work with headquarters in Arlington, Virginia.

During his service both in Ohio schools and with AASA, he has maintained an active relationship with School Management Institute, serving most recently as its senior consultant.

He has written extensively in professional journals on the subject of personnel evaluation and other aspects of school administration. He is also an author of two books: How To Evaluate Teaching: a Performance Objectives Approach and Improving Principal-Faculty Relationships.

The thrust of his most recent publication, Evaluating Teachers and Administrators; Putting the Pieces Together, is equipping school systems not only to decide what to stress in personnel evaluation, but also how to go about designing new programs or revising existing ones.

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Most personnel evaluation programs don't work because they aren't designed, developed, or implemented to improve performance.

Conventional evaluation programs:

- Purport to measure performance in terms of rating scales or checklists
- Being basically "report card" types of assessment, are overladen with rater biases
- Pay scant attention to the importance of performance objectives
- Over-emphasize the "identification of deadwood" in order to get rid of it
- Generate little or no enthusiasm on the part of practitioners
- Contribute little to real accountability in performance

Specifically, a different approach is necessary if performance is to be achieved.

Effective performance evaluation--both for teachers and administrators--rests upon a different set of premises:

- Job content must be better understood
- Status of current performance has to be diagnosed
- Relevant performance objectives have to be established
- A specific action plan for achieving each objective is necessary
- Cooperative action between practitioner and evaluator is essential
- Assessment must cover attainment of objectives and effectiveness in overall performance
- Evaluation is a continuing process

Conceptual knowledge and skills in application are essential in developing or remodelling an evaluation program.

This publication is:

- A handbook of guidelines

The guidelines are focused on the steps in the evaluation process.

There are five steps in the evaluation sequence.

The handbook serves two purposes:

- It guides a planning committee in designing an evaluation program.
- It explains the sum and substance of the evaluation process.

Understanding the what and the how of the evaluation process is essential to its development and successful implementation.

The five steps in these guidelines are:

DEFINING THE JOB

- Step 1. Diagnosing current performance
- Step 2. Setting objectives and action plans
- Step 3. Achieving objectives and action plans
- Step 4. Assessing results
- Step 5. Analyzing results and planning next cycle

INTRODUCTION

INTRODUCTION

One of the best ways to understand the evaluation process is to experience it. In doing so, in actual situations, it is possible that mistakes will occur in trial and error experience. This can be costly both to the person being evaluated and to the one doing the evaluating.

With this possibility in mind, alternative ways are needed to gain understanding of, and experience with, the evaluation process. Describing evaluation procedures, in book form, is one alternative and it is an important medium. Another option is to learn vicariously by means of taped commentaries and related programmed guidelines. This approach casts the evaluation process in the form of learning exercises and situations wherein both evaluatee and evaluator learn by doing assigned tasks, in a step-by-step sequence.

The thrust of the evaluation process, described in this training medium, is evaluation by objectives. In essence, this approach stresses (a) clear definition of the job--duties and responsibilities to be performed; (b) determination of the status of current performance with reference to those duties and responsibilities; (c) formation of specific objectives and action plans; (d) implementation of the action plans; (e) assessment of results; and (f) analysis of results, with planning for the future.

The programmed guidelines can be used in two ways: (a) in group training sessions, or (b) by individuals who wish to become more conversant with all phases of evaluation.

First, a word about the theory of evaluation by objectives. EBO is an alternative to conventional evaluation. It approaches the process in a different way and its primary purpose is to help the individual to

be more successful and effective.

Conventional evaluation, in most instances, is essentially a post-performance, checklist rating process. It relies heavily upon observations and requires the observer to rate what is seen and heard, using a scale that classifies performance by categories of competence.

Conventional evaluation puts a heavy premium upon (a) frequent observations in order to get a reasonably representative sample of performance; (b) the ability of the observer to distinguish significant from irrelevent aspects of performance; (c) a determined effort, on the part of the observer, to refrain--as much as possible--from letting rater bias dominate summative judgments.

Annual evaluations can be likened to a kind of report card assessment in that they judge performance after it is over rather than during its occurrence. The individual learns, at the end of the year, how well he or she has done. If performance has not been up to the evaluator's expectations, steps to bring it up to par have to wait until the forthcoming school year, or at least until a later time.

Conventional procedures pose an additional problem. Performance may be rated on a five-point scale, often labeled outstanding, good, average, weak, and unsatisfactory. These classifications are problems in themselves because individuals tend to feel that any rating below good is is demeaning. Evaluators, therefore, are inclined to give the greatest number of ratings in the top two categories. This skews evaluations toward the top end of the spectrum even though a more normal distribution may be justified.

When properly done, EBO overcomes many of the inadequacies of con-

ventional evaluation. It is essentially a diagnostic and remediation process whose ultimate purpose is to motivate improved performance.

It is a means rather than an end in itself. It makes evaluation a positive rather than a negative experience. The role of the person being evaluated is elevated; feedback information becomes more useful in contributing to modifications in current performance. Results are stressed more than activities. Evaluation by Objectives is inherently a form of clinical supervision.

So much for this overview of the differences between conventional evaluation and Evaluation by Objectives.

The guideline materials consist of concrete suggestions designed to clarify the evaluation process itself. Each chapter deals with a given aspect of the evaluation sequence.

THIS IS A PLANNING TOOL--The procedures are designed to help plan a new evaluation program or to revise an existing one. They are a means of communicating to planners and practitioners:

- conceptual information about personnel evaluation
- insights about the dynamics of the process
- suggestions for increasing skills in implementation

THESE ARE GUIDELINES--NOT PRESCRIPTIONS--These instructions are meant to guide--not dictate. Since school systems differ in size, structure, and past experience, each should design its program to best meet its unique requirements. So, while substantive differences will result, the procedural steps for developing or modifying programs are likely to be more or less constant from school system to school system.

WHAT IS DONE IS IMPORTANT; HOW IT IS DONE IS CRITICAL--The substance of an evaluation plan is very important, but how it is developed is critical.

- Involve those who will be affected by the program.
- Make the planning committee proportionally representative of the personnel who will be involved.
- Plan an agenda that will guide the committee sequentially through the developmental process.
- Provide for a planning leader who can function in a facilitating role.
- Reach decisions through discussion and consensus.
- Summarize tentative decisions in writing; reproduce for review and verification by the members of the planning committee at the next session.
- Keep verified decisions in a planning notebook.
- Pay attention to feedback from the staff when decisions are referred to colleagues for review and reactions.
- Complete the total agenda.
- Using accumulated decisions, prepare tentative draft of evaluation procedures.
- Have planning committee review tentative draft.
- Finalize the procedures.
- Produce the handbook.
- Plan and carry out installation of the program.

These common sense suggestions may seem obvious and perhaps trite, yet all too frequently they are disregarded or under-emphasized in program development.

Those who are evaluated by the procedures must "buy into" the program, hopefully prior to its installation. The above suggestions are designed to generate this sense of ownership.

Getting A Good Start

There is no more important phase in developing or revising an evaluation program than getting a good start. Lawyers say that the surest way to win a case in court is to be well prepared. This truism applies equally in the evaluation development process. School systems use a variety of ways in building new evaluation programs or in revising existing ones. A common practice is to form a study committee which often meets over a considerable period of time. The literature is combed. Evaluation procedures from other school systems are obtained and studied. Parts and pieces of these programs that look promising are earmarked, adapted, and used to formulate procedures that appear suitable for the local situation. The eclectic approach has some advantages because it avoids the time-consuming task of "re-inventing the wheel." Yet, this approach has one overriding deficiency. It produces a program that is actually not indigenous to the local situation. Borrowing and adapting from other systems, no matter how good their programs, is not the same thing as building one that is uniquely characteristic of the local school system itself.

Attending Workshops And Seminars

Another way to develop or revise an evaluation program is to attend a workshop or seminar. This provides an opportunity for inspiration and an overview of the topic. The difficulty is that it is hard to communicate what is learned to colleagues back home. A lot gets lost in vicarious translation. Few evaluation programs get changed in meaningful ways as a result of just attending workshops. Something else is needed. That something is the inspiration for developing training materials. It is believed

that these guidelines will provide the supplementary tools to enable participants in evaluation workshops and seminars to capitalize on what they learn and to be able to build with these materials a program in their own districts.

At the same time, these training materials are designed to enable individuals, as well as groups, to start from scratch and construct sound, workable evaluation programs even though they may not have participated in an evaluation workshop, as the initial step.

Section I of the guidelines provides a brief introduction to the planning of an evaluation program. It sets the stage from a philosophical point of view. After reading it, turn to Section II, "Tooling Up."

The Right Time To Begin

First, it is important to know how to decide when it's an appropriate time to construct a program. This is an essential preliminary task. Many persons have to be informed. Key people have to be willing to cooperate and participate in the planning. Strategies for obtaining this support will vary depending upon differences among school systems. Some will get cooperation and participation readily. Others may find it more difficult to do.

The superintendent, or designated representative, will have to take the initiative. The first move will be up to him or her. Strong support and commitment to undertake a planning project must come from the top-most level in the school system.

Be sure to assess carefully the state of readiness of the school system to undertake a planning project. Teachers, principals, central

office administrators and supervisors, cabinet-level executives, and board members have to be reasonably sold on the need for, advisability of and timeliness for a planning project. If the climate of readiness is negative, it will be necessary either to abandon the planning or to convince key leaders that it can and should be undertaken. Top management can't go it alone. Even in a divisive climate that may exist in some situations, due to hard-nosed collective bargaining, a real effort should be made to obtain a reasonable degree of consent and cooperation from constituent groups before embarking upon planning and developing an evaluation program.

Probably the negotiations table is the worst possible place to develop an evaluation program. Its substance and procedures are not amenable to adversary bargaining. Any effort, on the part of employee groups to seek to use this method of decision-making, should be resisted and rejected. Developing a program is a collaborative process. The ultimate success of its implementation depends upon cooperative effort and commitment.

Internal Capability

Another important part of "tooling up" is to determine if the school system has the internal capability to conduct a planning project. If so, well and good, but how to be sure is the question. Here are some things to consider in reaching the decision:

1. Is there a person available who can be assigned the responsibility?
2. Is that person knowledgeable and skilled in conducting planning sessions?
3. Will the individual be able to cope with possible internal "power struggles" among participating groups?

4. Is it likely that the individual will be able to function in a neutral, facilitating role in guiding the planning process?

5. Are prospects favorable for members of the planning group to support wholeheartedly the efforts of the internal planning leader?

If the answers to these questions are clearly affirmative, the chances are that internal planning capability does exist and the project can be undertaken with assurance of being successfully completed.

Be sure to read the suggestions for setting up the organizational structure for planning.

The Planning Leader

The planning leader is a key person. Whether an internal or external person, he/she can make or break the planning operation. What qualities are essential for success in this role? The planning leader should be:

1. Knowledgeable in all facets of personnel evaluation.
2. Respected by those who will be participants in the planning.
3. Able to guide the group decision-making process.
4. Able to lead the group toward the development of an acceptable plan of evaluation.
5. Effective in gaining and retaining commitment of the participants.
6. Able to remain undaunted by complexities that may emerge during planning.
7. Capable of achieving desired outcomes through the efforts of others.

While these qualities may seem formidable, they are within the range of reasonable attainment.

The planning leader must hold frequent pre- and post-planning sessions with the superintendent (or designated representative). These meetings serve several purposes:

1. To keep top management fully informed all during the planning;
2. To assure that top management can make suggestions and recommendations to help the planning leader;
3. To give greater assurance that the final outcome of the project will be acceptable to the Board of Education.

The foregoing comments regarding the need for and importance of a thoroughly competent planning leader should not be taken lightly. An external, neutral person has many inherent advantages over an internal planning leader. He or she:

- As a neutral person will likely be able to enable the planning committee to become a cohesive group faster than an internal leader can.
- Can bring a level of expertise in evaluation theory and practice that may not be possible otherwise.
- Knows the common pitfalls in planning evaluation procedures and therefore knows better how to avoid them.
- Can bring resources and materials which will greatly facilitate the planning process.
- Will be able to mediate sharply differing viewpoints that may emerge among members of the planning committee.

For these reasons a school system is well advised to consider very

carefully who shall be the planning leader. An external leader having the kinds of competencies indicated above may be the best possible investment and the surest guarantee of a successful planning project.

Role Of Internal Coordinator

The role of the internal coordinator is important, too, because he/she is the one who handles all operational arrangements (for example facilities, materials, audio-visual aids, communications to the staff while the planning is in progress, handbook preparation, implementation of the procedures, orientation and inservice guidance for both evaluatees and evaluators. In short, this person will have on-going oversight responsibility for the successful operation of the program after it becomes the official evaluation program of the school system.

If proper attention is given to the "tooling up" process, getting started will probably go smoothly.

It is never totally possible to predict how well members of a planning committee will work together. The mood of a group may be one thing at the outset, change during the planning, and be very different at the conclusion. Sometimes, "hidden agenda" interfere with the stated topics being covered. Individuals on the committee may vie with one another for various reasons. This is more likely to happen if competing employee organizations have representatives on the committee, and if making "political points" is more important to them than participating in a co-operative and cohesive manner.

The way the committee will work, however, is most likely to be in a completely forthright and constructive manner. In fact, it is possible to see and feel the committee becoming a deeply involved and committed

body, as the planning process goes along.

The planning leader should strive to motivate the members of the committee to take "ownership" in the development of the evaluation program so that, at the conclusion of the planning process, there will be reasonable assurance that committee members will become strong advocates for getting acceptance of the finished product. This will be good insurance for the successful implementation of the evaluation program.

It is essential to develop a practical way to keep the total staff informed regarding progress being made in the planning and to invite some reactions. Feedback information may be of two types: (a) written news notes, and (b) oral reports by members of the committee.

Staff reactions and comments are useful because they help keep the decisions of the planners relevant and realistic. It is far better to respond to critical viewpoints during planning than to cope with them after it is over. One of the obvious advantages in keeping the staff fully informed during planning is to guarantee that there will be no surprises at the end.

Section II provides detailed information about getting started. It is useful for the planning leader to explain carefully how the committee will function. It is important to stress that the committee members will be the "architects" of the evaluation program. While the planning leader will present background materials, explain options, clarify issues, and respond to specific questions, the substance of the evaluation program will be determined by the participants themselves.

It is well for the planning leader, with the help of the internal coordinator, to assemble evaluation procedures and handbooks from other school systems. In fact, it is advisable to establish a shelf of resource

materials readily available to committee members. This will afford them opportunity to "do homework" in order to become as conversant as possible with the literature on the subject.

It is also a good idea for the planning leader to be prepared to present an overview of the status of personnel evaluation throughout the country. This can serve as a prelude to the launching of the planning process.

Name plates and badges will help, at the beginning, to enable the planning leader and participants to get on a first-name basis. This breaks down needless formality and makes interaction easier.

Another useful practice is to start all planning sessions on time and to end them the same way. This discourages straggling and shows appreciation to those who are faithfully punctual. Disciplined work sessions not only are more productive, but are generally appreciated by busy and serious-minded participants.

It has been suggested, in the guidelines, that planning decisions be put on transparencies or flip chart paper so that all participants can be quite clear about what they have tentatively decided. All tentative decisions should be edited and reproduced in written form each evening following the day's planning, if possible. This may be a logistical problem, but every effort to do so is advisable. It expedites the planning process and gives the committee a sense of forward movement.

"Tooling Up" and "Getting Started" are the first two steps in initiating the planning process. Do them both well and be better assured that the project will go forward in a smooth and successful manner.

A good beginning is halfway home.

I–"TOOLING UP"

How is to possible to know when it is a good time to develop or to revise an evaluation program?

...is the current one out-of-date?

...is the current one no longer useful?

...are complaints about the current program escalating?

...is the "climate for change" propitious?

...has a new superintendent suggested that it is time to change?

In essence, size up the situation carefully before starting on a new program or revising an old one.

HOW TO TELL IF EXTERNAL CONSULTANT SERVICE WOULD BE USEFUL

Possible need for external consultant

- What is done in evaluation is very important, but how it is done is critical. This is more than a cliche. The substance of an evaluation prograr will have a great deal to do with its success, so it is very necessary to build it around sound principles. Even more important, however, is the way people carry out the program.

- An early determination that should be made is to decide whether the services of an external consultant will facilitate the successful development of an evaluation program.

- Basically, the decision needs to be made by top management because that is the level in the best position to make the determination. Also, top management knows whether resources are available for that purpose as well as knowing the attitude of the board of education.

CONSIDERATIONS

- Is there someone on the staff who has demonstrated successful experience in leading planning groups?
- Are members of the planning committee likely to accept that person's leadership?
- Can an internal planning leader keep constituent groups from engaging in "power grabs?"

- Will the planning leader have time to devote to an evaluation planning project?
- Does top management and the board have confidence in the expertise and skill of the internal planning leader?
- Are there resources to employ an external person? Is such a person available?
- What's the most likely way to guarantee the success of the planning process and the development of a satisfactory outcome?

WHAT'S INVOLVED IN PRELIMINARY PLANNING

Start with a solid foundation

It is exceedingly vital that good groundwork be put in place before embarking upon a planning program. Preliminary consultations with key leaders of various groups that will be involved in the evaluation program are essential. There is always the possibility that one or more of them will not give the project full support. They may even endanger successful accomplishment. Take time, then, to "touch base" with those who can make or break the venture.

WHY COMMITMENT IS ESSENTIAL

Don't take them for granted

Leaders of Teacher Organizations

They wield influence with the groups they represent. Without their understanding and support it will be difficult to carry out a successful planning program.

- Show need for planning project
- Discuss logistics of planning

- Explain why a new evaluation program seems desirable.
- Discuss results of "needs assessment" survey (if one was made)
- Invite questions, comments, reactions
- Request support for the project
- Discuss role of teachers' organization in planning process
- Get prognosis of degree/level of organization support

Don't take them for granted, either

Key Administrator/Supervisor Leaders

It is sometimes assumed that administrative and supervisory personnel can be counted on to support any proposal which emerges from the superintendent's office. Even so, it is better not to take it for granted. In some instances, support from this segment of the staff may be as uncertain as that from teacher organizations. There are sound reasons for meeting with leaders of administrator and supervisory groups to discuss the proposed project. (Cover the same topics as those indicated for teacher organizations.)

Policy-level support essential

Members of the Board of Education

Clearance with the board of education (or school committee) goes without saying. This is the superintendent's job.

- Show need for planning project
- Discuss logistics of planning
- Indicate expected outcomes of the planning process
- Indicate board's role in planning process
- Determine if external assistance is warranted

- Be prepared to outline:
  - --Timetable of completion
  - --Resources required
- Get board's approval

Commitment is given, not commanded

Commitment will come only if representatives of these three important components of the school system "invest" in the project. Unless their leaders perceive a congruence in the objectives of the proposal and their own interests, prospects for success will be less than they should be to justify the undertaking.

GOOD PRELIMINARY PLANNING IS HALFWAY TOWARD SUCCESSFUL CULMINATION OF THE PROJECT.

WHAT KIND OF PLANNING STRUCTURE WORKS BEST?

Good planning structure is important

If evaluation is to be a cooperative endeavor, its development must be conducted in a similar manner. The planning process requires a structure in which representatives of the components in the school system that will be involved in the evaluation program have proportionally equal voices in making planning decisions.

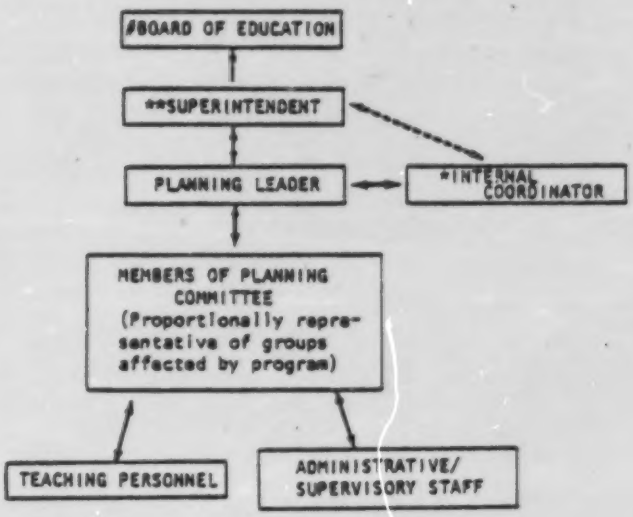
- If the program being developed is to be for teachers, then their representatives should be in the majority on the planning committee.

- If the program will be for administrators and supervisors, their representatives should be most numerous on the committee.
- The committee should be large enough to attain proportional representation of all those who will be affected by the program developed, but kept within reasonable limits in size. Fifteen to twenty participants is an optimum number.

SUGGESTED PLANNING STRUCTURE

It's the people, not the structure, that's important

The following structure is meant to be a suggestion--not a prescription. Each institution will have its own unique requirements. These will dictate the most expeditious way to set up a planning committee. The one below has been very successful in a wide variety of situations.



*Also member of planning committee
#One or more board members may be on committee
**May or may not be on planning committee

THE PLANNING LEADER

Insights, skills and temperament of this person will spell success or failure

This is a key person. He/she must know the difference between facilitation and advocacy. The temptation will be great, at times, to advocate a point of view, with emphasis. The temptation has to be resisted because it risks pitting the leader against committee members. When and if this occurs, problems usually arise. The wise leader facilitates (guides, but not dominates) the discussion. His/her job is to:

- present a tentative agenda;
- explain pros and cons of issues
- suggest alternatives and options
- listen more than talk
- draw out all members of the committee
- try to prevent domination by more aggressive members
- know when a topic has been thoroughly discussed
- recognize when to call for a decision
- avoid polarization of viewpoints
- help the group feel productive
- summarize tentative decisions
- put tentative decisions in writing
- get committee to finalize written decisions
- complete agenda

INTERNAL COORDINATOR

The strong "right arm" of the planning leader

This is the person who is selected to coordinate the operational details of the planning process and be the coordinator of the completed program in its implementation state. He/she will:

- assist the planning leader;
- make physical arrangements for planning;
- take care of amenities;
- be responsible for clerical requirements;
- see that planning materials are available;
- see that finalized procedures are reproduced;
- coordinate implementation of the program.

LENGTH OF PLANNING PROCESS

Plan to fit the local situation

It is unwise to specify the exact number of days required to plan a good evaluation program. Ten days is a good "ball park" estimate, however. These do not have to be successive planning days. In fact, it is better to space them over a longer time span. The key to this decision is the availability of members of the planning committee and especially the time of year the planning is done. The following are some possibilities of planning schedules:

PLAN A - TWO DAYS A MONTH

Works well during school year

During the school year, it may be more appropriate to plan the sessions as follows:

1st Month	Sessions 1 and 2
2nd Month	Sessions 3 and 4
3rd Month	Sessions 5 and 6
4th Month	Sessions 7 and 8
5th Month	Sessions 9 and 10

PLAN B - THREE DAYS A MONTH

Also, a very workable plan during the school year

In order to cut down the total number of months, it may be possible to schedule the planning sessions as follows:

1st Month	Sessions 1, 2, 3 and 4
2nd Month	Sessions 5, 6 and 7
3rd Month	Sessions 8, 9 and 10

PLAN C - TWO PLANNING WEEKS

Suited best for summer when schools are not in session

The most compact planning process might be conducted as follows:

1st Month	Sessions 1, 2, 3, 4 and 5
2nd Month	Sessions 6, 7, 8, 9 and 10

PLAN D - CONSECUTIVE DAYS

Another plan that covers a minimum period of time:

1st Week	Sessions 1, 2, 3, 4 and 5
2nd Week	Sessions 6, 7, 8, 9 and 10

II-GETTING STARTED

Guidance for a planning committee

HOW TO ORIENT MEMBERS OF PLANNING COMMITTEE

The success of the planning process depends, to a great extent, upon the thoroughness with which committee members are briefed and oriented as to how the planning will be carried out. Prior to convening the committee, some orientation should take place and this can be done by:

- making sure when a person is invited to be on the committee that a clear explanation is given, in writing, of the purpose of the project
- clarifying time commitments
- providing a planning schedule
- defining expectations of committee members
- informing committee members that a large part of the initial planning session will be devoted to role clarification

KNOWING WHAT IS EXPECTED OF ONE BEFORE EMBARKING ON PLANNING IS VITAL TO BEING A PRODUCTIVE MEMBER OF THE COMMITTEE.

It is desirable to have not only willing participants on the committee, but also those who will be enthusiastic.

The facilitator should prepare a tentative agenda for the total planning process. It should include:

-- topics to be covered

-- time allocations

-- opportunities for the planning committee to propose additional topics

Start with a tentative agenda

Obviously, when the facilitator prepares the tentative agenda, a definite thrust or point of view toward evaluation, in general, will be indicated. It's not possible to prepare a sequential list of topics without seeming to show that the facilitator has already decided how the program should come out.

Be sure the committee understands that it can modify the agenda

In order to avoid the possibility of having committee members feel that they have convened only to "rubber stamp" the desires and determinations of the facilitator, the latter must stress that:

-- the proposed agenda is only tentative
-- committee members can revise the agenda, add items, or delete others
-- the tentative agenda was developed primarily to get the planning process started.

It is likely, however, that the planning committee will agree to most of the agenda items, if they are carefully and logically presented. Most committee members will be content not to start "re-inventing the wheel."

The facilitator, however, must not try to "con" the committee by calling the proposed agenda tentative, but putting on a "hard sell" to prevent the committee from changing it. This will undermine or destroy the facilitator's credibility before the planning process even gets started.

The next step is to convene the planning committee. This initial meeting is an important one because it:

-- sets the tone for what is to follow
-- enables members to get an overview of what lies ahead
-- permits the facilitator to get some feel for the types of personalities in the group

First meeting of committee is critical

The first planning session should be used to generate a high level of enthusiasm for what is to follow. Committee members should be helped to feel that their time and talents will be well spent.

The facilitator has to be able to inspire the group to believe that it will be doing a useful and important job.

Help the committee understand how it will work

The committee needs to understand how it will work. It should be explained that the planning process will include the following procedures:

1. Agenda topics will be finalized.
2. The committee will adhere to the agenda.
3. Topics will be thoroughly discussed.
4. The facilitator will present and explain options and alternatives.
5. The committee will weigh options and decide which is preferable.
6. Tentative decisions will be recorded.

> A GOOD WAY TO RECORD TENTATIVE DECISIONS IS TO USE TRANSPARENCIES AND AN OVERHEAD PROJECTOR. FLIP-CHART PAPER WORKS WELL, TOO.

7. All tentative decisions will be summarized, typed, and provided the planning committee at the next session.

   Preparing summaries of each day's planning decisions is absolutely vital to the success of the whole planning process because it enables committee members to see what they decided. It also furnishes the "raw materials" which can be used later to develop the handbook of evaluation procedures.

   Make sure that the logistics of planning are under control

   Where and how to get the summaries typed, etc. is a logistics problem which the facilitator and internal coordinator will have to work out. It is wise for the facilitator to do the summarizing and editing of the tentative decisions. The internal coordinator may be able to get the typing and duplicating done.

8. The summaries of each day's planning should be prepared to go into planning member's notebook.

9. This procedure of planning will produce the evaluation materials needed later to prepare the handbook.

10. Another very important outcome of the plan for planning is that it enables committee members to see evidence of positive progress. It enables them to feel they are being successful planners. This is extremely important to the success of the project.

Planning notebook is an important adjunct to planning

A planning notebook is necessary. Each committee member should have one. It should be sectioned so that each day's planning summaries can be placed in the proper places.

It is important to understand that the committee starts with empty notebooks, except for a copy of the tentative agenda and certain supplementary materials such as:

-- bibliography of references on evaluation

-- relevant articles on the subject

-- notepaper, etc.

As decisions and determinations are made and finalized by the committee and as typed summaries are accumulated in the notebook, it becomes clearly apparent that progress is being made toward the accomplishment of the finished product; namely, the evaluation procedures themselves.

Superintendent has an important role

The superintendent (or designated representative) has a significant role to perform at the initial meeting of the committee. As was earlier indicated, it is important that top-level administrative support be demonstrated at the outset of planning. At the first meeting, the superintendent should:

1. Convene and chair the session.

2. Present the planning leader and coordinator.

3. Explain the reasons for the planning process.

As the planning process proceeds, the superintendent (or

designated representative);

-- keeps in touch with the committee through the planning leader and coordinator
-- reviews reports from planning sessions
-- keeps alert to the emergence of problems
-- keeps the Board of Education informed as to the progress of the committee

Periodic feedback helps prevent surprises at the time of implementation

It is necessary to report back to the staff and the Board of Education as the planning process proceeds. This can be done by brief digests (newsletters), summarizing the highlights of planning decisions. It can also be done by oral reports, at regularly scheduled staff meetings and board meetings. Keeping communication lines open throughout the planning process will pay dividends when it comes time to implement the program. It must be remembered that "there should be no surprises" when the program is ready to be received by the staff and board and put into operation. Periodic feedback reporting helps to guarantee this important condition.

Make changes in tentative agenda with care

If the tentative agenda needs to be revised, each proposed alteration should be carefully discussed by the members of the planning committee. Modifications may be minimal or massive. If the latter, it will be exceedingly important to make sure that the implications of the charges are understood and agreed to by committee members.

Adhere to the planning timetable

The planning leader must be careful to see that the committee adheres to the planning timetable. If this is not done, it is probable that planning will lag and additional days will be necessary

to get the job done. This may not be possible. It is far better to keep up than to try to catch up.

With good preparation, the planning process can be expected to go smoothly. Make sure that the above pre-planning suggestions are followed. If so, all will be in readiness for the planning committee to begin with confidence for the success of the outcome.

Good planning is the key

> Good planning is the heart of the successful development of an effective evaluation program. Cooperative participation by concerned and thoughtful representatives of the total staff is basic. The planning leader proposes, interprets, and guides; the planning participants discuss and decide. Consensus is essential. Step-by-step, decisions become principles and procedures. In the aggregate, these become the essence of the evaluation plan.

DEVELOPING PURPOSES OF THE EVALUATION PROGRAM

Purposes determine the dimensions of the program

- Before the dimensions of the evaluation program can be developed, it is necessary to formulate the purposes of the proposed program.
- Purposes should reflect the combined judgment of representatives of those who will be affected by the program.
- Purposes should be carefully determined because they

Purposes can be used to develop success indicators

can become reference points (indicators) to use in ascertaining if the program is successful or unsuccessful. In fact, purposes can and should be used to formulate success indicators. These can be used as the means of showing if the evaluation program has or has not been effective.

- A word of caution -- if purposes are numerous and diverse in content, it may be exceedingly hard to achieve them. In fact, attainability should be an important criterion in determining kinds and numbers of purposes.

- Frequently, a planning committee will develop an overall purpose -- one that encompasses the central and overriding thrust of the program.

> Example of a statement of an overall purpose:
> The general purpose of the evaluation program is to improve the performance of those being evaluated and thereby raise the quality of e educational services which the school system can provide.

- In addition to an overall purpose, it is likely that some very specific purposes will be identified by the planning committee.

Examples of specific purposes:

1. To clarify job content and scope;
2. To provide a planned process for improving performance;
3. To enhance evaluator/evaluatee working relationships;
4. To produce more valid evaluative data upon which to base assessments;
5. To provide an on-going record of performance effectiveness;
6. To provide information which may be used in determining pay.
7. To determine dimensions of deficiency when and if performance falls below the satisfactory level.

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Impact of potentially conflicting purposes

- Some purposes may seem to have the potential for being in conflict with each other. For example, (a) to promote improved performance, and (b) to provide information to determine levels of compensation. The former is likely to be regarded by the evaluatee as being positive and advantageous; the latter may be considered negative and potentially detrimental. It is therefore, essential to think clearly as purposes are being formulated regarding their implications. This is necessary to avoid potential problems in designing evaluation procedures to achieve purposes and to reconcile potentially conflicting situations which may ultimately arise.

AN EVALUATION MODEL

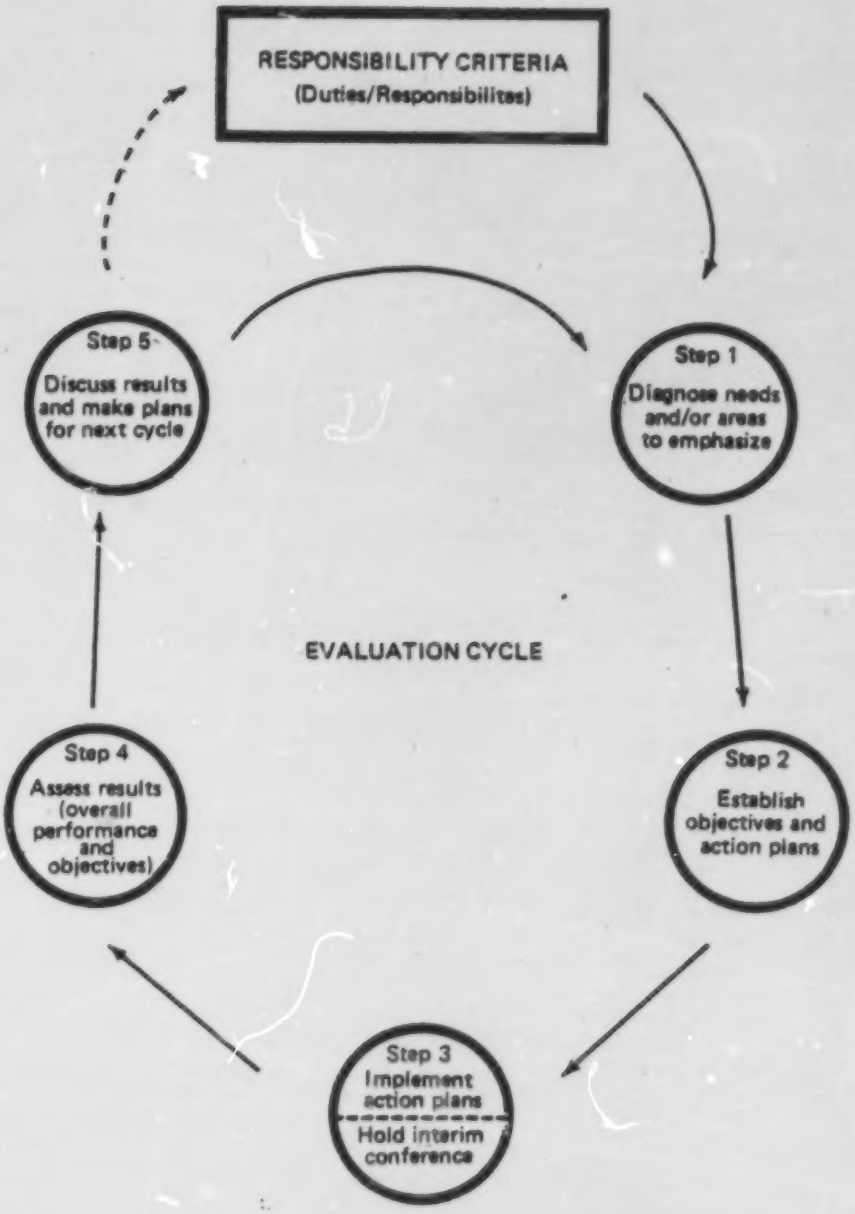
- Once purposes are determined, the next step is to construct a model (step-by-step process) of the evaluation program.

- The sequential steps in an evaluation program should be logical and plausible. There are several factors to consider in designing the model. Some of these are:

    1. Size of system
    2. Organizational structure
    3. Purposes to be achieved
    4. A process that can be understood
    5. Capability of being carried out

- The following sample model is provided to suggest ideas for the planning committee. The model adopted should be one that fits the local situation.

Example of an evaluation model



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III-RESPONSIBILITY CRITERIA: DEFINING THE JOB

Understanding what is expected in job performance is essential not only in fulfilling responsibilities, but in evaluating effectiveness in doing so.

...in what form will duties and responsibilities be formulated?

...who makes these determinations?

...are job descriptions the best means for describing job content?

...are responsibility criteria useful for this purpose?

...can general criteria be formulated and made applicable to all classifications of personnel?

Unless job content is well defined, it will be difficult to evaluate performance successfully.

DEFINING THE JOB

The obvious place to begin

- Defining the content and scope of the job of teaching, administration, or supervision is the initial step in developing evaluation procedures. It is obvious that the individual must know the expectations of those who will be doing the evaluating.

- Duties and responsibilities should be put in written form. Most rating scales and checklists consist of a series of statements which, in general terms, define the expectations of the position. Usually, the statements are written in the form of desired behaviors of successful performance.

- Very early in the planning process the committee should discuss the topic of job definition, examining the various options for doing so. Ways this has been done in various school systems may be reviewed before undertaking to decide the best way to proceed.

FORMAT FOR DEFINING THE JOB

- After the topic has been sufficiently considered, alternatives should be suggested by the planning leader. The advantages and disadvantages of each can be weighed and the one best suited to the needs of the school system and the tastes of committee members may be tentatively agreed to.

- Checklist or rating scale lists
- List of desired behaviors
- Characteristics of successful performance
- Performance standards
- Job descriptions
- Job descriptions
- Responsibility criteria and descriptors

Example of a checklist or rating scale

RATING SCALE - For Teachers

Meaning of ratings: (Encircle)

5 = Outstandingly Competent
4 = Competent
3 = Satisfactory
2 = Needs Improvement
1 = Unsatisfactory

I. Professional Competencies

1.	Knowledge/understanding of subject matter	5 4 3 2 1
2.	Ability to organize learning activities	5 4 3 2 1
3.	Quality of interaction with learners	5 4 3 2 1
4.	Effectiveness of teaching techniques, etc.	5 4 3 2 1

II. Personal Qualities and Relationships

1.	Methods used to solve teaching problems	5 4 3 2 1
2.	Quality of interaction with peers	5 4 3 2 1
3.	Evidence of poise/self-control/maturity	5 4 3 2 1
4.	Evidence of general good health, etc.	5 4 3 2 1

III. Parent-Community Relations

1.	Effectiveness in conducting parent conferences	5 4 3 2 1
2.	Sensitivity to concerns of parents	5 4 3 2 1
3.	Quality of written communications to parents	5 4 3 2 1
4.	Awareness of community concerns, etc.	5 4 3 2 1

Example of desired behaviors

LIST OF DESIRED BEHAVIORS

The following illustrates behaviors displayed by successful teachers:

I. Professional Competencies

1. Demonstrates depth of knowledge in subject matter
2. Arranges instructional activities in an orderly way
3. Shows fairness/firmness/consistency in discipline
4. Makes homework meaningful and reasonable.

etc.

II. Personal Qualities and Relationships

1. Uses appropriate channels in problem-solving
2. Uses good taste in dress and grooming
3. Is amenable to new ideas and suggestions
4. Shows resourcefulness in fulfilling assignments

etc.

III. Inservice Growth

1. Pursues a program of independent professional reading
2. Keeps up-to-date in area of specialization
3. Participates in system-wide curriculum development
4. Takes advanced courses in teacher education

etc.

Example of characteristics performance

CHARACTERISTICS OF SUCCESSFUL PERFORMANCE

An administrator who is successful will have the following characteristics:

I. Organizational Management

1. Does both short and long-range planning
2. Delegates responsibility with commensurate authority
3. Makes and transmits reports accurately and on timely basis
4. Builds leadership skills in subordinates,

etc.

II. Communications Management

1. Responds promptly to inquiries from parents and public
2. Provides for two-way communications internally
3. Maintains effective relations with media

etc.

PERFORMANCE STANDARDS

A performance standard is more specific and demanding than rating scale items, desired behaviors, or characteristic or successful performance. The keys to writing performance standards include the following:

(a) A specific responsibility
(b) An objective statement
(c) A measurable result

Example for a high school principal

Example of a performance standard

As high school principal, I will consider that I have been successful in assigning teachers if no more than ten percent will have to teach subjects that are not in their major fields of specialization.

(a)	Area of responsibility:	Assignment of teachers
(b)	Objective statement:	Making assignments in teachers' major fields
(c)	Measurable results	90% of teachers will be teaching subjects in their major fields of specialization

Example for a personnel director

Another example of a performance standard

As director of personnel, I will consider myself successful in providing fully qualified candidates for clerical positions in the school system if no position remains unfilled longer than five working days.

(a)	Area of responsibility:	Employment of clerical personnel
(b)	Objective statement:	Filling all clerical vacancies
(c)	Measurable results:	No vacancy left unfilled longer than 5 working days

Example of a job description

JOB DESCRIPTION

Title: Elementary School Principal

Reports To: Director of Elementary Education

Supervises: Teachers and other personnel assigned to the school

Job Goal: To organize and supervise the school in a manner that it may operate smoothly and effectively in providing a satisfactory education for each child according to his/her abilities.

Performances Responsibilities:

Organizational Management

1. Keep such records as may be necessary for the accurate accounting for the progress of each child, test results, health records, etc.
2. Prepare all reports required by local, state, and federal offices.
3. Require all salesmen and persons wishing to sponsor activities involving students, to submit such requests to and receive approval of the proper central office administrator.
4. Maintain all attendance records of students, records of certificated and non-certificated personnel and to prepare periodic reports of attendance of all employees.
5. Implement district policies, rules and regulations.
6. Implement provisions of the negotiated contract between teachers and the district.
7. Schedule all classes.

Communications Management

1. Communicate with staff by means of staff meetings, handbooks, and other written or verbal communication.
2. Clarify district policies and regulations.

etc.

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Example of a list of responsibility criteria

RESPONSIBILITY CRITERIA
(Administrators)

100 - Organizational Management

101 - Involved in district wide administrative responsibilities
102 - Safeguards confidentiality of privileged information
103 - Utilizes relevant current management research findings
104 - Engages in both short and long-term planning
105 - Delegates responsibility with commensurate authority
106 - Maintains records that meets requirements of assignment
107 - Submits reports that are accurate and on time
108 - Makes decisions proficiently
109 - Accepts responsibilities and holds self accountable for their fulfillment
110 - Facilitates change
111 - Is skillful in organizing
112 - Demonstrates knowledgeability in leadership theory
113 - Is able to put leadership theory into successful practice
114 - Builds leadership skills in subordinates and others
115 - Other (specify)

200 - Communications Management

201 - Interprets district guidelines and educational programs to the public, parents, teachers, and students
202 - Promotes a favorable image and the best interests of the school system
203 - Keeps self aware of the concerns and views of the community
204 - Responds promptly to inquiries from the public, parents, teachers, and students
205 - Keeps colleagues aware of developments in area of responsibility
206 - Establishes open two-way communications with staff
207 - Promotes a conducive climate for intra-inter-staff interaction
208 - Keeps improving own communication skills
209 - Maintains a high regard for others with whom associated
210 - Contributes to the district's public relations program
211 - Maintains good relations with the media
212 - Other (specify)

300 - Personnel Management

301 - Shares in personnel employment
302 - Contributes to employee inservice programs
303 - Proficient in the evaluation of personnel for whom responsible
304 - As requested, makes recommendations with regard to additions, promotions, demotions, retentions, transfers, and terminations of personnel
305 - As requested, participates in employee consultation and negotiation
306 - Makes assignments to capitalize upon the strengths of individuals
307 - Stimulates high morale
308 - Gives a high priority to orientation of new employees
309 - Keeps self available to staff members
310 - Is sensitive to the needs of staff members
311 - Promotes creativity among those supervised
312 - Other (specify)

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- The assets and liabilities of each of the six methods of defining the job of teaching or administration/supervision should be carefully weighed. Each method has some advantages and disadvantages.

- The responsibilities criteria and indicators approach has several strengths as a method of job definition. These advantages are:

  -- Major areas of responsibility can be clearly indicated

  -- Specific descriptors (indicators) can be listed under each major heading to clarify the content of that area

  -- Open-ended items, under each of the major categories, permit adding unique ones that fit the local situation

  -- The numbering system facilitates the use of the criteria and indicators

  -- The criteria and indicators simplify the diagnosis of current performance

  -- Assessment of overall performance is facilitated

  -- Indicators can be used to explain reasons for giving less than satisfactory assessments in major areas of responsibility

  -- Stating the indicators in as objective language as possible clarifies the content of each major area

Choice of method of defining the job is an important decision

- The ultimate choice of method used to define the job should be a consensus judgment of the members of the planning committee.

- The ease or difficulty of carrying out the evaluation process will be determined, to some extent, by the method used to define the job content.

IV-STEP 1. DIAGNOSING NEEDS

STATUS OF CURRENT PERFORMANCE

Some points to consider

- It is essential to determine the effectiveness of current performance insofar as fulfilling the responsibility criteria are concerned (if responsibility criteria are used to define job content).

- The diagnosis of current performance is a shared endeavor, involving the (a) person being evaluated, and (b) the one doing the evaluating.

- Determining needs or areas to emphasize should not be perceived as being a form of self-admission of weaknesses by the evaluatee, or an assessment of the evaluatee's deficiencies by the evaluator.

- In fact, diagnosis of current needs and/or areas where emphasis can and should be placed during the year, should be a candid, forthright analysis. Diagnosis and evaluation are two different processes. The former, occurring at the outset of the evaluation process, is simply a means of determining the focus of evaluation during the year. The latter, which comes at the conclusion of the process is a culminating assessment of the attainment of objectives and an estimation of the effectiveness of overall performance, with reference to the major areas of responsibility.

- It is important that this distinction between diagnosis and evaluation be clearly understood by both parties. Otherwise, it may be tempting for the evaluatee to avoid identifying

real needs or to suggest fictitious ones that are amendable to relatively easy fulfillment.

Real vs. pretended needs

- One of the risks in evaluation by objectives may be hesitancy on the part of the person being evaluated, to be honest in identifying genuine needs for fear of not being able to accomplish objectives which will respond to those needs.

- Fear of failure is not an unusual trait. For this reason it is important to make sure that the chief purpose of the evaluation process is fully understood and accepted by both parties -- evaluatee and evaluator. IMPROVED PERFORMANCE, in areas where needed, will not occur unless the focus is where it belongs. Playing games in the process of identifying needs or areas to emphasize is a perversion of the evaluation process itself.

- The evaluator's point of view regarding Step 1 - Diagnosing Needs will have a great deal of bearing upon the integrity of the identification of needs phase. The attitude the evaluator exhibits will likely generate either confidence or apprehension on the part of the evaluatee. It is encumbent upon the evaluator to help the person being evaluated to identify genuine needs so that affirmative action may be taken to respond to them.

Process for diagnosing needs

- The planning committee should consider the different ways the process of Step 1 - Diagnosing Needs may be accomplished.

  1. INFORMAL METHOD -- One way to diagnose needs is to do it informally. Essentially, the two partners meet to discuss

possible needs of the evaluatee. This is an oral understanding without putting anything on paper.

This approach has weaknesses. For one thing, memories are unreliable. For another, one party may assume certain understandings while the other may have different perceptions about what was agreed to.

The informal method tends to be sloppy. Not pinning things down can backfire, especially if relationships between evaluatee and evaluator are tenuous and strained.

2. WRITTEN UNDERSTANDINGS - A more formal approach may be recommended by the planning committee. One way to do this is to have both evaluatee and evaluator do "some homework" prior to meeting to discuss things that the former may work on during the year.

Dynamics of formalizing the identification of needs

- Normally, the evaluatee and evaluator independently review the instrument/s/ used to define the evaluatee's job. This may mean:
  (a) Reviewing responsibility criteria (major areas and descriptors under each area)
  (b) Analyzing the job description
  (c) Using both (a) and (b)
- Each person identifies those items that best represent items wherein the evaluatee may make improvements.
- Tentative identifications are indicated in written form.
- The two meet to discuss their tentative determinations. Various items are analyzed, reasons for their identification are discussed, and a consensus is reached.

- Items agreed to become the ones for which the evaluatee will develop specific objectives and action plans.

- It is important that when the conference is concluded that both parties are in agreement about the identified needs of the evaluatee.

The sample worksheet that follows may be helpful to the planning committee in suggesting a way to formalize the identifying of needs.

Sample form for identifying needs

IDENTIFYING NEEDS WORKSHEET

EVALUATEE _____ POSITION _____

EVALUATOR _____ POSITION _____

SCHOOL YEAR _____ DATE _____

DIRECTONS: Indicate the numbers of descriptors under each major area of responsibility which represent needs or items to stress during the coming school year. The evaluatee and evaluator should suggest needs of the former. After discussing them, consensus should be reached by placing the number of the agreed to descriptor in the consensus column.

Major Areas of Responsibility	Numbers of Descriptors		
	Evaluatee	Evaluator	Consensus
100 Organizational Management	104	106 111	104
200 Communications Management	206	210	210
300 Personnel Management	302	302	302

NOTES:

1. Obviously the above sample is abbreviated. Additional major areas would be included to provide a complete list of major areas of responsibility.

2. Consensus is reached through discussion and sharing of reasons for listing items. A give-and-take atmosphere prevails.
   (a) The evaluatee has sounder reasons for wanting to work on 104. The evaluator is convinced by the evaluatee.
   (b) The evaluator's judgment is concurred with for item 210.
   (c) Both had listed 302, so it becomes one of the agreed to needs.

etc.

Using the job description

- Using the job description to identify needs is another possibility. Generally, job descriptions do not show the detailed aspects of the job as responsibility criteria with descriptors under each area.

- In using the job description as the basis for identifying needs, it will be necessary for the evaluatee to pick out specific aspects that may need strengthening.

Key points

- Whichever method may be recommended by the planning committee, it is important to stress that the conference between evaluatee and evaluator should:

  (a) result in the identification of genuine needs
  (b) be a consensus determination
  (c) provide a written list of needs.

- The question sometimes arises regarding the possibility of unresolved disagreements between the evaluatee and evaluator. The likelihood of this happening is slight, but it is well for the planning committee to discuss ways disagreements may be resolved.

How to resolve disagreements

- One "ground rule" for resolving disagreements in reaching consensus on needs might be as follows:

  (a) If the evaluatee's past and current performances has been and is satisfactory, his/her choice of need will take precedence over that of the evaluator.
  (b) If the evaluatee's past and current performances has been and is less than satisfactory, the evaluator's judgment will prevail over that of the evaluatee.
  (c) A third person who is thoroughly familiar with the evaluatee's performance may be requested to help resolve the disagreement. (This assumes the availability of such a person.)

V- ESTABLISH OBJECTIVES/ ACTION PLANS

DEVELOPING OBJECTIVES AND ACTION PLANS

- The second step in the evaluation cycle is the development of specific objectives and action plans to accomplish them.

- Frequently, persons being evaluated experience difficulty in drafting meaningful performance objectives. Reasons for this are varied:

  (a) Inexperience
  (b) Reluctance to be held accountable for results
  (c) Apprehension

Why writing objectives causes some problems

- INEXPERIENCE - Conventional evaluation procedures are primarily based upon the proposition that if a person is conscientious, industrious, reliable, and carries out assignments in an efficient manner, he/she will receive a favorable evaluation. Input factors predominate. Payoff is made on the process rather than the product of one's efforts.

  Evaluation by objectives puts a premium upon outcomes--preferably measurable results. Since most persons in education perform job expectations, are supervised and observed by one or more supervisors, and are given evaluations based upon those observations and contacts, writing specific objectives for evaluation purposes is not a common experience. Therefore, inexperience in developing challenging objectives may account for some of the difficulty in writing them.

- RELUCTANCE TO BE HELD ACCOUNTABLE FOR RESULTS - Another reason why some persons say they find it difficult to formulate meaningful objectives is that they would rather not be held accountable

for results or outcomes of their efforts. This reluctance may be real or actually a cop-out. Those who really are hesitant about their efforts argue that there are too may variables over which they have little or no control. Therefore, to be held accountable in evaluation for results achieved more than for efforts expended, is a high risk and potentially unfair. On the other hand, the reluctance may be a cop-out. Rationalizing all the reasons why evaluation, on the basis of results achieved, is unfair, may be merely trying to avoid a meaningful process of holding oneself accountable for a product that has measurability.

Things to be taken into consideration

- APPREHENSION - Somewhat related to reluctance is fear that the results of evaluation by objectives will be used by supervisors in ways that may prove detrimental to the person being evaluated. Unfortunately, in many situations, there does exist a lack of credibility between evaluatees and those doing the evaluating as well as between the former and the top-level officials of the school system.
  Evaluation by objective, in particular, requires a high trust level and a conducive climate in working relationships. Where the trust level is low and a credibility gap does exist, it is likely that evaluatees will be apprehensive about being evaluated by the results achieved in fulfilling objectives.

- The planning committee should be aware of these possibilities in drafting the contents of that phase of the evaluation cycle having to do with developing objectives and action plans.

DRAFTING SPECIFIC OBJECTIVES AND ACTION PLANS

- Objectives may be either:

  (a) Product type (stressing measurable outcomes)
  (b) Process type (stressing useful actions or activities, which if carried out successfully, will presumably achieve a desired result.)

- An individual who chooses to develop and carry out the accomplishment of a product type objective is willing to be evaluated upon a measurable outcome. The action plan (activities) is a means to an end. The "bottom line" is the measurable result.

- On the other hand, the person who elects to write process type objectives expects to be evaluated on how well each implementing activity, in the action plan, is carried out. He or she is "home free" if all action steps are fully carried out.

Characteristics of specific objectives

- Objectives should be:

  -- challenging
  -- realistic
  -- achievable
  -- measurable
  -- commensurate with the resources available

- While product type objectives are more meaningful and probably more useful to the school system, there is room for process type objectives. In fact, it is quite likely that most individuals will develop both kinds. Regardless of the types used, it is important for evaluatee and evaluator to use the following checklist to test the appropriateness of objectives:

- Checklist:

  -- Is it stated concisely and explicitly?

Testing the appropriateness of the objective

-- Is the desired outcome clearly indicated?

-- How will it be possible to tell if the objective has been achieved?

-- Will the performance of the evaluatee require observations in order to ascertain if the objective is being achieved?

-- How much one-on-one contact between evaluatee and evaluator will be required?

THE ANATOMY OF AN OBJECTIVE

Much has been written on the subject of the structure of an objective. The planning committee will have to decide the extent to which objectives should be written in behavioral terms and the kinds of guidance and suggestions that should be put in a handbook of evaluation procedures.

1. Outcome - In addition to stating what is to be done, the desired outcome should be explicitly indicated. Omitting this makes the objective imprecise and unclear.
2. Plan - The actions to be taken to achieve the objective constitutes the plan. These action steps should be stated in discrete terms so that their implementation can be expedited.
3. Allocation of Resources - This consists of a statement of time, personnel services, money (where applicable) and materials that will be required to achieve the objective.
4. Commitment of Evaluator - The person doing the evaluating should indicate kinds and extent of supervision, assistance, observation and support which will be provided in order to help the evaluatee successfully achieve the objective.
5. Time Frame - Estimated completion dates apply to the achievement of the objective as a whole and to the individual steps in the action plan. Pinning down when things are to be completed is an essential element in the development of effective objectives.

6. Monitoring Plan - If the nature of the objective is such that observing the performance of the evaluatee will yield useful information, it is essential that the kinds and extent of monitoring required be clearly indicated and that both parties agree how and when it will be done.

OBSERVATIONS

Forms and checklists for gathering information and data by means of observations may be developed for use by evaluatees and evaluators. Obviously, these instruments apply to administrative and supervisory performance.

The planning committee may wish to check the literature on classroom supervision and observations before prescribing particular forms or tools for collecting observational data.

It should be remembered that in the performance objectives approach to evaluation, the nature of the objectives will largely dictate the kinds and extent of observations that will be made.

If, however, the evaluator will be obliged to provide a general assessment of overall performance in the major areas of the responsibility criteria, then a form or checklist may be quite appropriate. The one that follows is meant to be a guide and in no way should be regarded as a prescription.

OBSERVATION CHECKLIST

1.	Demonstrates depth of knowledge in subject matter	/ / / / /	Shows lack of depth of knowledge in subject matter
2.	Arranges instructional activities in an orderly manner	/ / / / /	Instructional activities are conducted in a very haphazard manner
3.	Shows consistency in discipline	/ / / / /	Inconsistent and unpredictable in managing pupil behavior
4.	Makes homework meaningful and reasonable	/ / / / /	Homework assignments are vague and unrealistic
5.	Stimulates meaningful and producted pupil participation in class discussion	/ / / / /	Class discussions are teacher dominated and pupils remain passive
6.	Understands and uses principles of motivation, reinforcement, retention, etc.	/ / / / /	Shows little or no understanding of and adherence to sound principles in teaching-learning process
7.	Uses diagnostic techniques to determine instructional level of students	/ / / / /	Shows little evidence that diagnostic techniques have been used to reflect instructional level of students
8.	Provides instruction at the correct level of difficulty	/ / / / /	No indication that instruction is tailored to varying needs of students
9.	Uses a variety of classroom methods to stimulate student interest	/ / / / /	Absence of variety in classroom methods and techniques
10.	Is considerate and fair in dealing with students	/ / / / /	Unpredictable and quixotic in relationships with students
11.	Welcomes and respects differences in pupil viewpoints	/ / / / /	Arbitrary and indifferent to differing viewpoints expressed by pupil

etc.

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Suggestions to consider

- SOME GENERAL GUIDELINES:

  (a) The number of specific objectives probably should range from four to six in order to insure that major matters are being addressed and that high quality achievement may be insured.

  (b) Differences of opinion between evaluatee and evaluator regarding kinds and number of specific objectives should be resolved wherever possible without recourse to third party intervention. That should be a last resort and only then if the third party is in a responsible position to offer advice and counsel.

  (c) A consistent format should be used for preparing objectives and action plans. The planning committee should develop a worksheet or form to recommend in writing objectives and action plans. The one that follows is provided to help the committee in drafting such a format.

Example

School Year_____ OBJECTIVE AND ACTION PLAN

Copies
1st - Eval'tee
2nd - Eval'tor
3rd - Central Office

Evaluatee:_____ Sch./Off_____

Evaluator:_____ Position_____

OBJECTIVE: (What/outcome desired/method of measurement)

ACTION PLAN (Activities)	Completion Date Estimated / Actual

Sample form for writing an objective and action plan

EVALUATION (Extent to which objective was achieved) If marked PA or NA, give explanation on reverse side of this form.	Evaluation Eval'tee	Eval'tor
Fully Achieved.	_____	_____
Partially Achieved.	_____	_____
Not Achieved.	_____	_____

SIGNATURES: Signatures do not necessarily mean concurrence; rather that the process was carried out.

Evaluatee_____ Date_____

Evaluator_____ Date_____

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V–IMPLEMENTATION OF ACTION PLANS/ INTERIM CONFERENCE

IMPLEMENTING ACTION PLANS

- The ways evaluatees and evaluators will work together during the year to carry out action plan activities should be clarified. This usually is done at the time the two confer regarding the formation of objectives and action plans.

Understandings are essential about ways action plans will be implemented

- Understandings should be reached with regard to the following matters:
  1. Kinds and amount of assistance the evaluator will be expected to provide.
  2. Number and frequency of observations and/or contacts that will be needed.
  3. Number and frequency of informal conferences following observations and/or contacts.
  4. Type of "feedback information" the evaluator will provide the evaluatee.
  5. Type of observational information to be collected by the evaluator.
  6. Any other concern that either party may have about the implementation of action plans.

No surprises

- An important dictum to observe is "there should be no surprises" as evaluatees and evaluators work together. This is not to be construed to mean that the evaluator should not make observations or contacts unless the evaluatee is notified in advance. In fact, both announced and unannounced observations or contacts are quite proper. The point is, however, that this be one of the understandings at the outset when planning is being done for implementing plans.

Observations/ contacts depend upon types of objectives

- Obviously, objectives determine the kinds and number of observations and/or contacts. Some objectives will not have their setting in the classroom or the administrator's office or school. The responsibility for implementing action plans may rest squarely upon the shoulders of the evaluatee, and the action will take place in ways wherein observations may be inappropriate or even impossible. The evaluatee carries out the actions and reports periodically to the evaluator regarding the progress being made.

Stipulations may exist

- So far as teaching personnel are concerned, it is customary for the evaluator to make an agreed-upon or a prescribed number of classroom observations. Often the negotiated contact or prescribed regulations stipulate the number, length, and frequency of such observations.

Guidelines for observations

- The planning committee may wish to recommend guidelines for conducting classroom observations. Suggestions may include:

  1. Ways to record observations (forms and records)
  2. Kinds of "feedback" to be provided the evaluatee
  3. Interaction between evaluatee and evaluator during observation
  4. Interval of time between the observation and providing "feedback" for the evaluatee

- Different evaluators will have different styles and techniques in conducting observations. There should be no attempt to standardize these techniques. In fact, the needs of situations require flexibility and varying approaches. Evaluators should treat each evaluatee as a unique individual and use the technique that best fits the situation.

INTERIM CONFERENCE

Keep up-to-date

- It is possible--even likely--that circumstances may change during the school year so that objectives and action plans may need to be revised, or even deleted and new ones put in their place. The point is that both objectives and action plans have to be kept up-to-date and relevant.

Mid-year check-up

- Relevancy can be better assured by holding at least one (maybe more) interim check-up conference about the mid-point of the school year. This is a more formal conference that the informal ones held following classroom observations. Its purpose is to see how things are going. Are objectives and action plans still relevant? Should modifications be made? If objectives and action plans are still appropriate, is adequate progress being made in their attainment? Is everything "on target"?

If "the light is green"

- If the "light is green", the evaluatee can proceed with confidence, assured that the evaluator has reviewed the progress being made and that both parties are in general agreement regarding the continued implementation of the action plans. Good communication between evaluatee and evaluator is essential and an interim conference contributes toward that end.

INTERPERSONAL RELATIONSHIPS

What and **how** in evaluation

- The quality of working relationships between evaluatee and evaluator is exceedingly important in carrying out the implementation of action plans. It has been said that what is done in evaluation is quite important, but how it's done is crucial.

- Evaluation generates mixed reactions among those involved in the process. Unfortunately, many of these reactions are negative, but it is possible to change some of these attitudes into positive feelings.

- Some of the ways to make evaluatee-evaluator relationships positive and rewarding are these:

Some suggestions to enhance working relationships

1. Use praise in a positive way. When it is given sincerely as a result of work well done with results fully achieved, praise can be, and usually is, a genuine motivator.
2. Use criticism prudently. Fault finding, exaggeration of deficiencies, and deliberate down-grading of a person's performance will de-motivate the individual and make evaluation a negative process. Criticism, to be meaningful, has to be used constructively. If interpersonal relationships are on a firm footing, constructive criticism will not be devastating. In fact, it can, and likely will be, accepted by the evaluatee as non-threatening.
3. Avoid an over-emphasis on involved procedures, too much paperwork, and an excessive insistence upon adherence to the mechanics of evaluation.
4. Beware of reactive behavior. "Laying it on the line" will

More suggestions to build better working conditions

evoke different responses from different evaluatees. Reactive behavior takes different forms, but it usually causes the evaluatee to feel that something is being done to rather than with him/her. This is a big difference.

5. Capitalize upon the partnership principle. The evaluator wins when the evaluatee succeeds. The role of the former is basically that of a coach and a facilitator rather than a judge and a rater. Evaluators who adhere to and use McGregor's Theory Y of approach in working relationships will achieve far better results in fulfilling their roles, than if they operate under the Theory X concept.
6. Operate on the assumption that individuals want to be successful. There is a good possibility that teachers, administrators and supervisors can come to accept the concept of personal accountability. In fact, sometimes one's own "score card" of achievement may be as rigorous as that of his/her evaluator. In other words, individual accountability can be more uncompromising than that imposed by the evaluator if the climate of working relationships is open and based upon trust.
7. Build on strengths. The essence of evaluation by objectives is to take individuals "where they are" and move them to "where they can go". When strengths are stressed, weaknesses can better be corrected.
8. Keep flexible. Recognize the significance of the wide range of skills, potentials, asperations, and personal characteristics that exist among teachers, administrators, and supervisors. These variables must be taken into

account. Flexibility is a key word in evaluation by objectives.

9. Use "feedback" wisely. Once action plans are set in motion, evidence of improvement as observed should be reported back to the individual. The wise use of "feedback" should be treated as reinforcement for further improvement.

10. Build a commitment toward action. Intentions and actions should be tied together. Evaluators must translate intentions into actions as they fulfill their coaching and evaluative responsibilities.

VII-ASSESSMENT OF RESULTS

ASSESSMENT OF ACHIEVEMENT OF SPECIAL OBJECTIVES

Assessment is a shared activity

- One aspect of the evaluation of performance is the assessment of the extent to which specific objectives are achieved. This is a shared responsibility of the person being evaluated and the one doing the evaluating.

The advantage of measurable objectives

- As has been indicated, already, if measurable objectives are chosen and carried out, the assessment of results should not be a matter of conjecture. Results are likely to be self-evident. There may be a need for judgment if some of the objectives are of the process type, without measurable attributes. However, judgments should be based upon as much objective evidence as it may be possible to collect.

Avoid the win/lose syndrome

- It is important to understand that achieving objectives has an element of subtlety in it. A challenging and demanding objective partially achieved probably can be considered a greater accomplishment than a modest objective fully achieved. The temptation to perceive the achievement process in a "win-lose" context will be a mistake. To do so is to encourage evaluatees to set low-level objectives in order to guarantee 100% success. This is self-defeating and does little to enhance the concept of evaluation by objectives.

ASSESSMENT SYMBOLS

- In assessing the extent to which objectives are achieved a decision has to be made as to the kinds of assessment symbols that make sense.

- The planning committee probably will consider different approaches in recommending the kind of symbols that will be most descriptive of the results actually achieved. Some possibilities are the following:

Kinds of assessment symbols

1. Option A. A two-factor evaluation is sometimes used.

This "up or down" type of assessment is probably too simple. It makes no provision for less than full achievement or for less than no achievement.

Some options

2. Option B. A three-factor set of symbols may be recommended.

Comments regarding choice of options

Option C. Multiple degrees of attainment may be recommended.

The attainment of objectives:

- ☐ Exceeded expectations
- ☐ Met expectations
- ☐ Fell somewhat below expectations
- ☐ Fell substantially below expectations
- ☐ Fell completely below expectations

Option D. A narrative assessment may be used.

This consists of a brief paragraph for each objective stating as concisely as possible the extent of achievement.

Option E. Combination of above options.

Sometimes a planning committee may propose a dual assessment procedure, i.e., a set of symbols, supplemented with a brief paragraph to elaborate on the assessment given.

- No plan of assessment may be totally satisfactory to all concerned. Symbols may not tell enough to suit evaluatees and evaluators. Written paragraphs require time and effort on the part of both parties. Narrative assessments often conceal more than they disclose because it is easy to straddle the issue and write an ambiguous paragraph.

- It is customary to provide explanatory comments for extreme assessments. If results are substantially below expectations, an explanation should be given, showing why such an assessment was made.

- In some instances, explanatory comments are also provided for unusually high assessments on the grounds that extra-ordinary attainment needs explanation.

- Self-assessments on the part of the evaluatee may or may not be recommended by the planning committee. Some believe that it is too difficult for the evaluatee to be candid about his/her own accomplishments. However, insofar as attaining specific objectives is concerned, self-assessment should not be too difficult for the evaluatee. This is particularly true if objectives are designed in measurable terms. The problem of reliance upon personal opinion and judgment in assessing the degree of attainment of the objectives, in such situations, should be minimal.

ASSESSMENT OF EFFECTIVENESS OF OVERALL PERFORMANCE

Encompassing the total job

- It is obvious that an individual will not write specific objectives in every major area of responsibility. As has been suggested, the number of specific objectives may range from four to six. This raises the question of how to assess performance in the overall aspects of the person's job.

- The customary way to provide a full assessment of the person's total performance is to complete a two-part assessment:

  Part I - Extent of attainment of specific objectives.

  Part II - Level of effectiveness in major areas of responsibility.

Focus on major areas.

- In assessing the level of effectiveness in overall performance (Part II) it is preferable to provide an assessment in the major areas of responsibility. It is not necessary or practical to give assessments in every sub-element of major areas of responsibility because this would require a detailed list of assessments which would be difficult to provide.

- A better plan for completing Part II of the assessment of results is to limit ratings to the major areas of responsibility and cite specific aspects (elements or descriptions) under each area as justification for a low rating. This enables the evaluator to pinpoint places where improvement should be made and simplifies the whole assessment process.

ASSESSMENT SYMBOLS FOR EVALUATING EFFECTIVENESS IN OVERALL PERFORMANCE

- As was the case in assessing attainment of specific objectives, no set of symbols is completely satisfactory to the persons involved in the evaluation process.

Totally acceptable assessment symbols are illusive

- Some of the possibilities for assessing effectiveness in overall performance are as follows:

  POSSIBILITY A. Two-part assessment:

  ☐ Effective ☐ Ineffective

  This is a rigid arrangement and it is very likely that the temptation will be great to give a preponderance of effective assessments.

Possibilities in assessing effectiveness of overall performances

POSSIBILITY B. Three-level assessment:

☐ Effective ☐ Needs improvement ☐ Unsatisfactory

This approach is rather conventional because it is a more realistic way to categorize overall performance.

POSSIBILITY C. A multiple-level assessment.

High [5] [4] [3] [2] [1] Low

This approach is traditional in that it is a five-point assessment which is very frequently used in checklist-rating scales. The difficulty with it is the heavy emphasis upon marking the two upper categories because [3] is usually regarded as an average rating and evaluatees tend to get uptight when evaluated as average.

POSSIBILITY D. Narrative statement. As in the instance of assessing the extent to which specific objectives are achieved, this method has several serious weaknesses:

1. Too easy to write vague ambiguous paragraphs
2. Time-consuming
3. Generally resisted by evaluators

POSSIBLITY E. Combination of symbols and narrative statement. As was earlier indicated, this is a reasonable approach. However, preparation of the narrative paragraph may become burdensome to evaluators if the number of evaluatees is large.

- Whichever method is used to assess the results of the year's work, it is important to keep evaluations in the proper perspective:
  1. They should reflect objective estimates of what actually happened during the year.

Keep assessments in perspective

2. They should be based upon concrete evidences of achievement.
3. Subjective judgments should be logical and rational.
4. If challenged, the evaluator should be able to cite as much specific "evidence" as possible to justify the judgments.
5. Honesty, candor and fairness should permeate all assessments.
6. Evaluations should be able to stand scrutiny, and evaluatees should have the assurance that questions may be raised about assessments without putting the evaluatees in a state of jeopardy if a request is made for a review of the evaluator's assessments.

VIII–DISCUSSING RESULTS/ FOLLOW–UP PLANNING

DISCUSSING RESULTS AND MAKING PLANS FOR NEXT CYCLE

- The culminating conference between evaluatee and evaluator is a very important step in the evaluation cycle. The reason for this is that it is "summing up" time. The whole year's work, as reflected in the assessment of results, is put into focus.

- It can be a time to share the dividends of success if things have gone well and results are satisfying to both parties. On the other hand, if results have not been favorable, it can be a time of tension for both.

Successfully culminating conferences requires insight and skill

- Good conferring skills do not always come easily. Usually, they have to be cultivated. Therefore, much depends upon the insights and skills with which each person comes to the conference. There is great latitude for success or failure in the ways culminating conferences are conducted.

- It is apparent that the quality of the assessments made in Step 4 will have great bearing on strategies for conducting the culminating conference. It is likely that most evaluatees will have experienced successful results. If so, the conference can, and probably will, be pleasant and satisfying.

- There is no recipe for conducting successful, culminating conferences, but some of the following suggestions may be helpful:

SOME CONFERENCE GUIDELINES

- Preparation - Good preparation is essential. Having done a good job at every previous step in the evaluation cycle is also important. This is particularly true in Step 3. If the evaluator has fulfilled all of his/her supervisory responsibilities in the implementation stage, it means that there has been good communication between evaluatee and evaluator.

Pathways to culminating conferences effectively

- No Surprises - Culminating conferences will likely be difficult if surprises emerge in the conference. For example, if the evaluator introduces "new information" in the conference, and if this is something that is detrimental or negative, the evaluator normally goes on the defensive. Therefore, a sound principle is "don't spring surprises" in the conference.

- Sensitivity - The discussion of effectiveness in performance (both plus and minus) is a sensitive matter. Recognizing this fact and being mindful of it all during the conference is a must if both parties are to receive the greatest good for the conference.

- Focus on Results - It is important to put the accent on what happened during the year rather than to dwell to an inordinate degree on subjective and to a large extent unverifiable assessments.

- Praise and Criticism - Obviously, both praise and criticism will surface in the culminating conference. Using praise

and criticism judiciously is of the greatest importance. Praise realistically used can be a motivator; criticism unwisely applied will likely serve as a demotivator.

- Logistics of Conference - Time and place of culminating conferences are matters for local determination. The important thing is to insure the greatest possibility that the conference will be successful for both parties. This means a convenient time, a comfortable setting, and a conducive atmosphere.

More suggestions

- Give and Take - Exchanges between the two persons should be cordial and candid. Neither party should monopolize the conversation. Two-way participation implies give and take with as much avoidance as possible of a "boss-employee" posture.

- Talking and Listening - A wise evaluator learns to listen more than talk. It is a sound principle in consultation to draw the other person out. If at all possible, get the evaluatee to do much of the talking with the evaluator responding, commenting, and supplementing the former's viewpoints.

- Keeping Emotions Under Control - If the year's work has gone badly, the possibility may be great for emotionality to dominate the conference. The evaluatee will probably be defensive. The evaluator may be tempted to "lay it on the line." Things can deteriorate into a heated exchange of accusations and denials. In the end, the conference becomes an emotional

battleground. Nothing good can come from this type of conference. Though difficult, it is always a wise procedure to keep cool and avoid explosive interchanges.

- Flexibility - The best of plans can go awry. While good preparation is a must and usually assures a productive conference, unforseen difficulties can arise which may turn things around and put the conference in some jeopardy. This means that the evaluator in particular needs to be flexible. Changing direction and altering plans on the spot sometimes gets things "back on track".

Still more suggestions

- Corrective Actions - Evaluators should be prepared to suggest ways the evaluatee may correct deficiencies if these are matters of concern in the conference. The object of evaluation is to improve performance where it is needed. Therefore, evaluators have a dual responsibility: (a) to be able to assess and (b) to be able to offer specific suggestions to enable the evaluatee to engage in corrective actions.

- Pin Down Understandings - As the culminating conference progresses, certain understandings will evolve. Avoid the temptation to rely entirely upon oral understandings especially if these involve commitments upon either party to carry out certain follow-up activities. It is a wise policy to put understandings in writing so that each person may have a copy.

- Put the Accent on the Positive - Inasmuch as most evaluatees will have been successful during the year, it will be rather easy to stress positive things during the conference. But

even where success has been much more elusive, an effort should be made by the evaluator to be as "constructively critical" as possible. Candid assessments can be made in positive ways.

PARTICIPANTS IN THE CONFERENCE

Who should be involved

- Normally, the evaluatee and evaluator will be the only participants in the culminating conference. In many instances, they are the only two persons who can be in the conference.

Three-way conferences

- Sometimes if it is anticipated that difficulties may emerge due to a lack of successful accomplishments during the year, a third party may participate in the conference. This person might be someone who is in a position to contribute helpful suggestions and who may have had a contributing role in the evaluation process. Usually, both the evaluatee and evaluator should be agreeable to the involvement of a third party.

Four-way conferences

- In certain situations, the evaluatee may request and be granted permission to have an "advocate" present in the conference. This may cause the evaluator to want to have a colleague present. Four-way conferences probably will be rare and generally formalize interaction. They tend to generate more adverse feelings and reactions than collaborative relationships. Usually, these kinds of conferences occur when the performance of the evaluatee has

been assessed by the evaluator as being unsatisfactory and some kind of serious personnel action is being considered.

EVALUATING CULMINATING CONFERENCES

- It is a useful practice to evaluate the effectiveness of culminating conferences. This can be done in various ways. The following questions may be used to construct an opinionaire for evaluatees to fill out (on a voluntary basis) in order that the evaluator may be able to tell how well evaluatees receive them.

Use of an opinionnaire

Suggested Questions

1. Which of the following most accurately represented your feelings about the culminating conference before it was held?

   a. Felt apprehensive about it

   b. Wondered what it would be like

   c. Had no particular feeling one way or another

   d. Had a pretty good idea what it would be like

   e. Had no apprehension about it

   f. Other (specify)_____

Some key questions

2. After the conference was over, which of the following best represented your feelings about the conference?

   a. Felt uneasy and on the defensive

   b. Left the conference with negative feelings

   c. Had no strong feeling either negative or positive

   d. Felt the conference was helpful and reasonably satisfactory

Key questions continued

e. It was a motivating experience

f. Other (specify)_____

3. Did you feel the conference showed good planning on the part of the evaluator?

_____yes; _____no; _____reasonably good; _____no opinion.

4. Did you feel the emphasis was upon results of the year's work rather than upon subjective opinions?

_____yes; _____no; _____not sure; _____ no opinion.

5. Were the physical surroundings conducive to a successful conference?

_____yes; _____no; _____somewhat; _____no opinion.

6. Was the atmosphere non-threatening?

_____yes; _____no; _____generally; _____no opinion.

7. Did both parties (evaluator and evaluatee) share actively and freely in the discussion?

_____yes; _____no; _____reasonably well; _____no opinion.

8. Did either person "play games" with the other?

_____yes; _____no; _____somewhat; _____no opinion.

9. Was criticism given constructively?

_____yes; _____no; _____somewhat; _____no opinion.

10. Was praise given sincerely and on the basis of meritorious performance rather than as a "cosmetic tactic" to make the evaluatee feel good?

_____yes; _____no; _____to some degree; _____not sure.

11. Did you feel "put down" during the conference?

_____yes; _____no; _____to some degree; _____no opinion.

12. Were the main points made during the conference summarized?

_____yes; _____no; _____partially.

- Obviously the opinionnaire may be constructed in various ways. It is not suggested that the above questions be used or in the above format.

IX-ADDITIONAL MATTERS

IMPORTANCE OF WRITTEN EVALUATION PROCEDURES

- The outcome of the planning committee's deliberations are the agreed upon evaluation procedures. These are best provided for in a Handbook of Evaluation Procedures.

- The accumulated decisions of the planning committee will be the "raw materials" which will become the contents of the handbooks. The following are the types of topics that are likely to appear in the handbook:

Possible topics to include in a handbook

(1) Foreword - Usually written by the chief school executive or designated representative. It consists of a general statement of why the program was developed; an indication of the support which is or will be forthcoming from the top management level of the school system; acknowledgement of the work of the planning committee; and such other things that may indicate the viewpoint of top management with regard to the program.

(2) Introduction - This is the section that describes how the program was developed by the committee and how it is envisioned that the program will be introduced and implemented.

(3) Philosophy - This section is a statement of the overall philosophy of the program, indicating the principles and beliefs underlying the evaluation procedures.

(4) Purposes - Generally, a section is devoted to a statement of the overall purpose of the program and, very often, a listing of related specific outcomes which it is hoped the program will achieve.

Continuations of topics for a handbook

(5) Indicators of Success - Sometimes, but not always, a section will be devoted to ways by which the success or failure of the program will be judged. Indicators (criteria) will be cited which can be used to determine if the program fulfills the stated purposes and outcomes.

(6) The Evaluation Model - The structure of the program often depicted graphically, is indicated. This will show in graphic form just how the program flows, step-by-step.

(7) Explanation of the Model - It is advisable to explain each step in enough detail to enable those who will be using the evaluation process to know precisely what is to take place in each step.

(8) Evaluation Procedures - The dynamics of the process must be clearly explained. This includes: (a) who evaluates whom; (b) how evaluations are done; (c) frequency of evaluations; (d) role clarifications; and (e) such other procedures as may be necessary.

(9) Timetable of Accomplishment - It is useful to have a general timetable of completion for each step in the process. Flexible dates (ranges) are preferable to fixed dates.

(10) Worksheets and Forms - The worksheets and evaluation forms that will be used should be included with ample explanation of their use. It may be helpful, also, to include sample specimen topics of each worksheet and form to enable users to see how completed copies will look.

Still more topics to include in handbook

(11) Evaluating Performance Below Satisfactory Level - If procedures are developed for evaluating performance below the satisfactory level, these should be included in detailed form in the handbook.

(12) Appeal Process - If the planning committee develops a means for evaluatees to have their evaluations reviewed in instances wherein they feel final assessments are inaccurate, unfair, or that the various steps in the evaluation process were abridged in some way, this appeal process should be included in the handbook.

(13) Guidelines for Conducting Evaluatee-Evaluator Conferences - If the committee considers and develops general guidelines (suggestions) for conducting conferences between the evaluatee and evaluator, these need to be included.

(14) Glossary - It is a good practice to develop definitions of terms used in the evaluation process. By including these in the handbook, those involved in the program will better understand the terms being used.

(15) Input From Students - It may be helpful to include some key questions which can be used to obtain student opinions by evaluatees in determining areas of concern of students. This type of "needs assessment" can be useful in establishing specific objectives that speak to student interests and concerns.

(16) Input From Parents - Another optional topic to include is a list of questions or items that may be used to obtain ideas and suggestions from parents that will enable the evaluatee to design one or more objectives that respond

to parent interests and concerns.

(17) Orientation - The planning committee may also wish to have a section in the handbook that provides concrete suggestions and recommendations which will guide evaluators in introducing and explaining the evaluation procedures.

EVALUATING PERFORMANCE CONSIDERED BELOW SATISFACTORY LEVEL

- While most persons will have achieved results assessed to be quite satisfactory, there may be occasions when the reverse may be the case. A planning committee is well advised to provide for such eventualities.

Some special concerns

- The process for evaluating services deemed below the satisfactory level differs from that used in instances where the individual is performing in a very satisfactory manner principally in the intensity of emphasis upon each step in the process.

- As soon as it appears that an individual is in difficulty, insofar as performance is concerned, the evaluator is obliged to become more directly involved and to see that the following steps are taken to address the problem more forthrightly.

- Identify needs (Step 1) - It is absolutely essential to specify in quite concrete terms the deficiencies which the individual may be experiencing. In other words, the deficiencies must be pointed out by the evaluator and discussed.

The evaluatee obviously must be given the chance to react to the identified deficiencies. In case of differences of opinion between the two persons, the viewpoints of both are considered, talked through, and hopefully consensus can be reached. Failing to achieve consensus should be the responsibility of the evaluator to insist upon the inclusion of those deficiencies that are of critical importance. The reason for this is obvious.

Evaluator has to be more directive

- It is the responsibility of the school system, whose agent in this instance is the evaluator, to specify deficiencies as soon as they become apparent.

In Step 2 of the evaluation process, the evaluator must be prepared to suggest ways in which the evaluatee can design objectives which will be strongly responsive to the specific deficiencies. In other words, deficiencies call for:

(a) Delineation of corrective action that is necessary,

(b) Indications of the kind and amount of assistance that will be provided by the evaluator and/or other persons in the school system,

(c) Clarification of the ways evaluator and evaluatee will work together during the year.

In summary, in Step 2, specifications of corrective action must be spelled out.

- It is vitally important in Step 3 that the evaluator and such other persons as may be involved, deliver the assistance

that is needed. It is the affirmative responsibility of the evaluator to:

(a) Make observations adequate in number and timeliness.

(b) Provide careful follow-up feedback information as soon as possible after the observation is over.

(c) Document all contacts with the evaluatee and to share those observation notes with the person.

- Assessments must be based upon concrete evidence of the degree to which the evaluatee was able to correct the specified deficiencies. Documentation is essential to verify the assessments.

- If assessments indicate that performance has become satisfactory, success will have been achieved. If the deficiencies have not been removed and it becomes apparent that some sort of personnel action is called for, it will be important to be sure that:

Importance of meeting the mandates of due process

(a) Every step in the evaluation process has been carried out as completely as possible.

(b) Due process rights of the individual have been observed.

(c) All final assessments reflect a careful documentation of what happened during the year.

- In summary, in evaluating performance that is regarded as being below the satisfactory level, the evaluator is obliged to be more directive in defining the dimensions of the evaluatee's deficiencies; more prescriptive in proposing the

things that have to be corrected; more helpful in providing necessary assistance; more careful in monitoring the performance of the evaluatee; more meticulous in documenting all contacts with the evaluatee; and finally, more accurate in basing final assessment upon documented data obtained by observations and follow-up conferences.

INPUT FROM STUDENTS

- Evaluatees have "clients". The most obvious "clients" are students and parents. It is they who directly or indirectly are recipients of the evaluatee's services. The question is frequently asked, "Should students evaluate teachers?" Also, "Should teachers evaluate principals?" If the planning committee elects to propose "client-centered" assessments, it will be helpful to propose ways for doing this.

- The ways of obtaining student input will vary from quite informal "rapping" sessions with small groups of students to more formal techniques such as opinionnaires and questionnaires. The questions that follow are provided to enable planning committees to develop concrete suggestions for obtaining student input.

Questions

1. Help. Is the help you need provided when you need it?
2. Understanding. Do you feel your teacher understands you?
3. Questions. Do you feel you can ask questions in class or are you afraid to do so?
4. Like School. Do you like school?

5. Counseling. Do you seek outside-of-class help and guidance from your teacher?
6. Grades. Do you feel you are graded fairly?
7. School Activities. Are you encouraged to take part in school activities?
8. Involvement. Are you encouraged to take part in planning class activities?
9. Discipline. Do you feel the discipline in your class is good?
10. Likes and Dislikes. Name one thing you like very much and one thing you dislike in class.

- Obviously these questions, if used, would have to be cast in language suitable to the age level of the students.

INPUT FROM PARENTS

- The planning committee may or may not wish to recommend obtaining input from parents in the evaluation process. If the decision is to do so, the following questions may be helpful in making suggestions.

Possible questions to ask in getting parent input

Is adequate recognition and responsiveness given to your child's (childrens'):

1. Abilities?
2. Interests?
3. Needs?

Do you feel your child (children):

4. Likes (like) school?
5. Is (are) covering the work they should?

6. Has (have) to be urged to go to school?
7. Has (have) developed any new interests this year?
8. Understands (understand) in general, the assignments and instructions given by the teacher(s)?
9. Regards (regard) their school work as being interesting and challenging?
10. Is (are) receiving accurate and fair grades for the quality of work being done?
11. Regards (regard) the behavior standards carried out by teachers as being too strict, not strict enough, or about right?
12. Do you feel comfortable and at ease when you visit school?

X-IN CONCLUSION

PERSONNEL EVALUATION: ITS PROMISES, PROBLEMS AND PROSPECTS

- The search of finding a better way to evaluate the performance of teachers and administrators has been tedious. Change is difficult to achieve. Adherence to traditional techniques even though they fall short of being effective is deeply ingrained. The promise of there being a better plan of evaluation has justified the search.

A better approach to evaluation rests upon its promises.

The promises in a better plan evaluating personnel are many:

1. Improvement - A better plan of evaluation has a different focus; namely, enabling individuals to become more effective. The emphasis upon improvement rests upon a simple promise - a successful person can become even more effective, and a less competent person can improve, provided the opportunity is present and if evaluation is used as a means to bring about this change.
2. Planning - Improvement without planning is not likely to occur. Unless one plans, it is difficult to get to a destination or even to know when one gets there. Planning becomes an essential part of the achievement of desired outcomes in evaluation. Step-by-step, the individual and his/her evaluator move toward the desired ends. Systematic planning, its implementations, and measurement of the results of the plans are ingredients of meaningful evaluation.
3. Partnership - Planning through partnership is one of the brightest promises of a different approach to personnel

evaluation. The concept of peer participation in evaluation is another of the promises that justifies the effort to keep advocating a different approach to this process.

4. Objectives - Planning through partnership is done by means of objectives which reflect a mutual agreement as being responsive to needs or areas of emphasis on the part of the person being evaluated. Objectives point directions; they are stepping stones to improvement and success.

The promises of better evaluation programs

5. Collaboration - To set an objective is one thing, to achieve it is quite another. Achieving is a collaborative process, involving the partnership principle. Both the person being evaluated and the individual serving as evaluator have a mutual interest in the successful implementation of the action plans to achieve the objective. Complementing roles make the difference.

6. Results - Evaluation by means of specific objectives and action plans put the emphasis on results. The payoff is on what really happens, not just upon good intentions or effort.

7. Motivation - Without motivation a person is likely not to experience genuine satisfaction or to achieve desired results in the evaluation process. On the other hand, experiencing attainment of objectives contributes to motivation and it, in turn, helps to assure the results desired.

The promises of better personnel evaluation provide the basis for its advocacy

IMPROVEMENT

PLANNING

PARTNERSHIP

COLLABORATION

RESULTS

MOTIVATION

These and other promises inherent in a different approach to personnel evaluation have provided the fuel to fire an effort for advocating a more positive personnel evaluation process.

Problems will have to be met in achieving better evaluation programs

- The bottom line on the balance sheet in the quest for better evaluation procedures shows both gains and losses. There has been a gradual movement throughout the country toward the objective approach in personnel evaluation. This represents a GAIN. On the other hand, most school systems continue to use traditional or modified conventional procedures. The validity of the promises is still sufficiently compelling, however, to justify continuing to advocate evaluation by objectives.

- There are problems in attaining a different approach to personnel evaluation, a very sensitive process, involving complex interpersonal relationships. Whenever two or more people become involved in evaluation, there are bound to be problems. Some of these are the following:

Problem: Divergent Expectations

Divergencies

Improvement	vs.	Termination
Motivation	vs.	Control
Coaching	vs.	Rating
Praise	vs.	Criticism

- Diverse expectations on the part of those involved in evaluation pose problems. When expectations of parents, board members, superintendents, central office members, principals, and teachers are in sharp variance -- perhaps even in conflict -- serious problems can and do occur.

Closing divergent gaps

- Rate, Praise, Coach, Control → More Consensus → Terminate, Criticize, Improve, Motivate

- Not all divergent expectations can be changed into consensus but every effort should be made to narrow the gap. If this is not done, evaluation cannot be made a cohesive process. Attempts have to be made to reconcile differences. While total success may not be possible, enough has to be achieved to assure reasonable attainment.

PROBLEM: TIME CONSTRAINTS

Time constraints

- One of the persistent complaints of evaluators is where can time be found to complete evaluation responsibilities.

Constraints

- ✔ Managerial details
- ✔ Meetings
- ✔ Interruptions
- ✔ Emergencies
- ✔ Diversions
- ✔ Involvement
- ✔ Crises

- The above constraints and others, for that matter, are indigenous to most evaluators jobs. They cannot be totally eliminated.

- Relief has to come from two sources:
  (a) Actions of the individual
  (b) Actions of the school system itself

  More time cannot be created except by better time management on the part of the individual, on the other hand, and by a deliberate effort by the organization itself to avoid inordinate drain upon the time and energies of individuals.

Drain upon time and energy of individuals has to be reduced

- Someone at the top management level has to see that:
  (a) Reports and paperwork are held in check or better yet, reduced in volume and frequency.
  (b) Only necessary and essential meetings are scheduled.
  (c) Red tape is kept to a minimum, etc.

- Some drain is inevitable, but some can be prevented. Otherwise, constraints become so persuasive that effective evaluation becomes nearly impossible.

- The individual, however, has to avoid using time constraints as a cop-out. Better time management is possible, but it takes real effort, self-discipline, and persistence to achieve it.

PROBLEM ATTITUDES

- Differing attitudes toward evaluation pose problems.

Attitudes

- Apathy
- Apprehension
- Indifference
- Cynicism
- Hostility

- Trying to change attitudes, especially those which are basically negative is difficult. Very often, only symptoms rather than causes underlying negative attitudes toward evaluation.

Modifying negative attitudes toward evaluation may be difficult but is necessary

- Common sense dictates a few rather obvious things:
  (a) Start by accepting those whose attitudes toward evaluations are different from your own.
  (b) Explore basic reasons for negative attitudes.
  (c) Explain the differences between the objectives approach to evaluation and traditional procedures.
  (d) Challenge the individual to give the new approach a fair chance.
  (e) Carry out the process so that the individual can feel a sense of success.

PROBLEM RELEVANCY

Belief: Evaluation is unrelated to the job; it is an add-on activity.

Without relevancy evaluation loses its meaning

- For a long time, evaluation has been regarded by some as being peripheral to on-going day-to-day duties and responsibilities. When viewed as an add-on activity rather than a relevant part of the job, it will have little, if any, real significance. It will become a kind of exercise in futility -- something to be tolerated -- but little valued. If evaluation has little or no relevancy to daily duties, it is bound to be regarded as an extra burden.

PROBLEM CLIMATE:

(+)		(-)
Trust	vs.	Suspicion
Openness	vs.	Hidden Agenda
Respect	vs.	Insincerity
Candor	vs.	Evasiveness

Working climate crucial

- Climate can be a problem. If it is positive and conducive to good interpersonal relationships, evaluation will have a better chance of being successful. On the other hand, if climate is characterized by distrust and cynicism, the probability of success will be minimal. It is far easier to maintain and improve a conducive climate than to turn a bad one around.

PROBLEM MANDATES:

- Legislation
- State Regulations
- Court Decisions
- Bound Policies
- Administrative Guidelines

Mandates can expedite as well as impede

- There has been a trend in recent years for state legislatures, state education agencies, courts, local boards of education, and local educational agencies to promulgate legislation,

regulation decisions, policies, and guidelines which affect the substance and processes of personnel evaluation. This trend has resulted in both plusses and minuses. Some external pressure can be useful; but on the whole, it is better for action to originate within the school system itself as a result of perceived need.

Problems in summary

EXPECTATIONS
TIME
ATTITUDES
RELEVANCY
CLIMATE
MANDATES

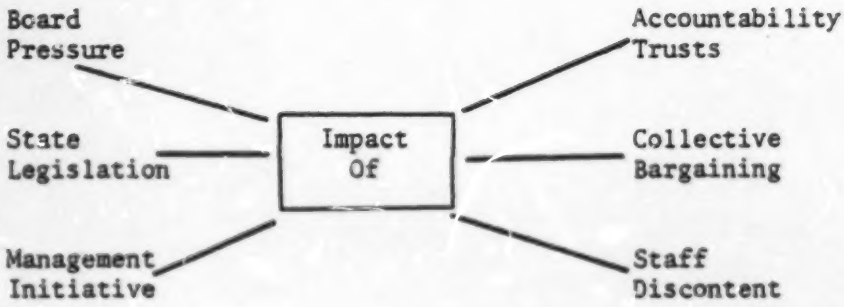
- Diverse or conflicting expectations, time drain negative attitudes, lack of relevancy, hostile climate, and unrealistic mandates pose serious problems in carrying out effective evaluation programs.

Root causes of problems must be addressed

- Where these problems or others of equal seriousness exist, it will be necessary to seek ways to cope with them. It will take time and tenacity to do so. Left unresolved, however, the odds are against success in achieving good evaluation results.

PROSPECTS

- What are the possibilities for improving an existing evaluation program or making modifications that will produce better results?



- The impetus for continued changes in evaluation practices will come both from within and outside the school system.

Internal and external forces affecting personnel evaluation programs

- Boards of education will press for evaluation procedures that will produce more explicit indices of success in the delivery of educational services.

- State legislatures are likely to continue to pass statutes which mandate changes in evaluation procedures.

- School administrators and supervisors will initiate changes.

- Educational organization - national, state, and local - will push for changes in the way evaluation procedures are designed and carried out.

OTHER PROMISES

- More valid evaluative data. There will be greater availability of and reliance upon valid evaluation information and less emphasis upon subjective assessments.

- Closer working relationships. Persons being evaluated and those doing the assessments will work together more closely in a mutually supportive framework.

- Greater emphasis upon results. Individuals will be judged more by the results of their efforts than by their efforts alone. In other words, outcomes become more significant than efforts put forth.

- Validation of deficiencies. If and when services are deemed to be below the satisfactory level, there will be more and better evidence to substantiate the allegations.

Other dividends in a different approach to evaluation

- Evaluation will be positive. Finally, a different approach to evaluation with emphasis upon achievement of mutually agreed upon objectives can and will turn evaluation from being essentially negative to a positive experience.

CONCLUDING THOUGHTS

- There are some other prospects which may be anticipated if school systems will move toward adopting the objectives emphasis in evaluation.

  (a) Better job definition. One dividend will be a better description of job expectations. Duties and responsibilities will be more explicitly determined.

  (b) Better planning. Evaluation will take place in a planned, sequential manner. Needs will be identified better. Objectives will be set to meet them. Implementing action will be more systematic and assessment will be based upon more relevant information.

Better evaluation practices can be a reality

- The promises in objective evaluation outweigh the problems. The prospects justify a continuation of strong advocacy for moving toward more productive ways to evaluate teachers, administrators, and supervisors.

GLOSSARY

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Action Plan	Steps or actions taken to achieve a specific objective.
Appeal Process	Method used to determine if assessment of performance were inaccurate, unfair, or if the evaluation process was, in some manner, improperly carried out.
Assessments by Evaluator	Estimates of extent to which objectives have been achieved or degrees of effectiveness in overall performance in major areas of responsibility.
Checklist/Rating Evaluation	Traditional type of assessment of performance wherein evaluator makes the assessments and tells the evaluatee the results.
Client Input	Advisements or suggestions made either to evaluatee or evaluator which may be used by either or both in the evaluation process.
Contributor	Person, usually one who functions in a staff relationship (department head, supervisor, etc.), and participates in evaluation in an advisory, helping role.
Conventional Evaluation	See checklist/rating evaluation.
Culminating Conference	Meeting between evaluatee and evaluator, at conclusion of evaluation process, at which implications of assessment are discussed and plans are made for the next cycle.
Descriptors	Sub-components of major areas of responsibility provided to describe the content of the latter.
Diagnosis of Current Status	Identification of needs or areas to emphasize with reference to major areas of responsibility.

Due Process	Means of assuring individuals that their rights and interests will be protected in instances wherein some personnel action is being taken so far as their services are concerned.
EBO	Evaluation by objectives.
Evaluatee	Person being evaluated.
Evaluation Model	Graphic presentation of the sequental steps in the evaluation process.
Evaluator	Person doing the evaluating.
Facilitator	Person who leads the planning committee in developing the evaluation program.
Frequency of Evaluation	How often persons will be evaluated.
Interim Conference	A meeting between evaluatee and evaluator held about the mid-point of the year to checkup on the progress being made in achieving objectives and in fulfilling duties and responsibilities.
Internal Coordinator	Person who assists the facilitator and planning committee in conducting the planning process in developing an evaluation program.
Job Definition	Method used to define duties and responsibilities.
Objective/Action Plan Worksheet	Form used for the purpose of stating the specific objective and action plan for carrying it out.
Observation Report	Form used by evaluator to report observations and suggestions regarding the evaluatee's work.

Overall Performance	Fulfillment of general duties and responsibilities in which no specific objectives have been established.
Performance Data	Evaluative information used to determine if objectives were achieved and/or effectiveness in overall performance.
Planning Committee	Group designated to develop an evaluation plan or program.
Pre-Evaluation Conference	Planning meeting between evaluatee and evaluator to discuss thrusts of evaluation during year and how they will work together.
Primary Evaluator	Person having the direct responsibility for assessing the performance of the evaluatee.
Responsibility Criteria	List of major duties (major areas and descriptors) for persons being evaluated.
Self Assessments	Estimates of accomplishment and/or effectiveness which the evaluatee gives her/himself.
Specifications of Deficiency	Explicit statements detailing areas of unsatisfactory performance, indicated by the evaluator to the evaluatee.
Specific Objectives	Concise statements of what is to be accomplished, outcome desired, and ways achievement will be measured.
Summary Evaluation Report	The end-of-year evaluation report showing the assessments of the degree to which objectives were achieved and the quality of effectiveness in overall performance.
Timetable of Completion	The target dates when each step in the evaluation process will be completed.
Unsatisfactory Service	Performance that is regarded as being below acceptable levels of competence.